

Form PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 026532-0103		SERIAL NO. <u>10/623,134</u> Unknown		
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)				APPLICANT Richard L. Sandoz, et al				
				FILING DATE July 17, 2003		GROUP ART UNIT Unknown <u>3628</u>		
U.S. PATENT DOCUMENTS								
EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE	
/DPV/		6,112,188	8/29/00	Hartnett				
FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION	
							YES	NO
/DPV/		WO 02/37433A2	5/10/02	PCT				
/DPV/		WO 02/086657A2	10/31/02	PCT				
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/DPV/		R. Sandoz, "SO2 Market Exceeds Expectations," Environmental Finance, p. 11, May 2000.						
↓		L. Kiesling, "CO2 Emissions Trading, The Coase Theorem, and Creating New Markets," The Reason Foundation, October 23, 2002.						
		"The Chicago Climate Exchange: Trading Hot Air," The Economist edition, October 17, 2002.						
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EXAMINER /Daniel Vetter/				DATE CONSIDERED 06/11/2007				
<ul style="list-style-type: none"> EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant. 								

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

SERIAL NO. 10/623, 134
~~Unknown~~

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APPLICANT

Richard L. Sandor


FILING DATE

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U.S. PATENT DOCUMENTS

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/DPV/	R. Sandor, Chairman and CEO, Environmental Financial Products, LLC, "Statement to the U.S. Senate Environment and Public Works Committee," March 24, 1999 Hearing on Credit for Voluntary Early Actions.
↓	F.H. Murkowski, Alaska, Chairman, Committee on Energy and Natural Resources, "Climate Treaty," Hearing before Committee on Energy and Natural Resources, United States Senate, One Hundred Fifth Congress, First Session on the Impacts of a New Climate Treaty on U.S. Labor, Electricity Supply, Manufacturing and the General Economy, September 30, 1997.
	R. Sandor, CEO, Environmental Financial Products, LLC, transcript of testimony given before the Sub/Committee on Environmental and Public Works, March 24, 1999.
	R. Sandor, CEO, Environmental Financial Products, LLC, "Getting Started With a Pilot: The Rationale for a Limited-Scale Voluntary International Greenhouse Gas Emissions Trading Program," testimony presented to the White House Conference on Climate Change, October 6, 1997, and the U.S. Senate Energy and Natural Resources Committee, September 30, 1997.
	R. Sandor, "Toward an International Co ₂ Entitlement Spot and Futures Market" Chapter 3.2, pp. 221-236, editors: R. F. Kosobud, et al., "Market-Based Approaches to Environmental Policy: Regulatory Innovations to the Fore."
	United Nations Conference on Trade and Development, "Combating Global Warming: Study on global system of tradeable carbon emissions entitlements," R. L. Sandor, "Implementation Issues: Market Architecture and the Tradeable Instrument," Chapter IX, pp. 151-166.
↓	R. Sandor, Statement to Prague meeting on Sustainable Development, January 14, 1995.

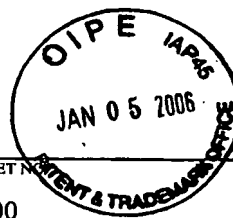
EXAMINER

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06/11/2007

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LIST OF REFERENCES CITED BY APPLICANT Form PTO-1449 <i>(Use several sheets if necessary)</i>	ATTY. DOCKET NO. 7634-4000	APPLICATION NO: 10/623,134
APPLICANT: Richard L. SANDOR		
Sheet 1 of 2	FILING DATE: July 18, 2003	GROUP: 3628 3628

USE PATENT DOCUMENTS

*EXAMINE R INITIAL	CITE NO.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/DPV/	A1	4,677,552	06/1987	Sibley, Jr.	364	408	
	A2	5,532,928	07/1996	Stanczyk et al.	364	406	
	A3	5,621,654	04/1997	Cohen et al.	364	493	
	A4	5,664,112	09/1997	Sturgeon et al.	705	28	
	A5	5,726,884	03/1998	Sturgeon et al.	395	209	
	A6	5,794,212	08/1998	Mistr, Jr.	705	26	
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	A8	6,115,698	09/2000	Tuck et al.	705	37	
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	A11	2001/0032168	10/2001	Adamson et al.	705	37	01/2001
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	A14	2003/0055665	03/2003	Fleming	705	1	04/2002
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	A17	2004/0015454	01/2004	Raines et al.	705	412	11/2002
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	CITE NO.	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
/DPV/	B1	WO 02/37776	05/2002	PCT				
/DPV/	B2	WO 02/07776	10/2002	PCT				
/DPV/	B3	WO 04/010366	01/2004	PCT				

EXAMINER /Daniel Vetter/	DATE CONSIDERED 06/11/2007
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		APPLICANT: Richard L. SANDOR	
Sheet 2 of 2		FILING DATE: July 18, 2003	GROUP: 3629
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/DPV/	C1	Sandor, R., "Trading Gases," Our Planet Magazine, The United Nations Environment Programme Magazine for Environmentally Sustainable Development, Volume 9, Number 6, 1998.	
↓	C2	Sandor, R., "Corporate Giants To Aid Design of U.S. Carbon Market," Environmental Finance Magazine, June 2001.	
↓	C3	Solomon, B., "Emissions Trade Systems and Environmental Justice," Environment; Washington, 42:8, October 2000, pp. 32-45.	
↓	C4	"Designing Options for Implementing an Emissions Trading Regime for Greenhouse Gases in The European Community," Final Report, February 22, 2000.	
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